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| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371 | | ATTORNEY'S DOCKET NUMBER 05022/HG |
| INTERNATIONAL APPLICATION NO. PCT/JP2003/011883 | | U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 107523170 |
| INTERNATIONAL FILING DATE 18 September 2003 | | PRIORITY DATE CLAIMED 20 September 2002 |
| TITLE OF INVENTION OPTICAL COMMUNICATION-USE WAVELENGTH CONVERSION DEVICE | | |
| APPLICANT(S) FOR DO/EO/US Sunao KURIMURA; and Masaki HARADA | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | |
| <ol style="list-style-type: none"> 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371. 3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input checked="" type="checkbox"/> The US has been elected (Article 31). 5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). <ol style="list-style-type: none"> a. <input checked="" type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). | | |
| Items 11 to 20 below concern document(s) or information included: | | |
| <ol style="list-style-type: none"> 11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input checked="" type="checkbox"/> A preliminary amendment. which removes all multiple dependent claims 14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76. 15. <input type="checkbox"/> A substitute specification. 16. <input checked="" type="checkbox"/> A power of attorney and/or change of address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825. 18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 20. <input type="checkbox"/> Other items or information: | | |

Copy of:


- (i) REQUEST PCT/RO/101
(ii) WO 2004/027511 A1 (title pages only), the publication of PCT/JP2003/011883
(iii) REQUEST FOR PUBLICATION OF ASSIGNMENT INFO.
(iv) 3 sheets drawings (for the Examiner's convenience)

Express Mail Label No. EV 602 254 525 US**Date of Deposit: January 27, 2005**

I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above with sufficient postage, and is addressed to the Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria VA 22313-1450

Lori Valdes
Lori Valdes

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| U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 10/523170 | | INTERNATIONAL APPLICATION NO. PCT/JP2003/011883 | | ATTORNEY'S DOCKET NUMBER 05022/HG | |
| 21. The following fees are submitted: | | | | | |
| <input checked="" type="checkbox"/> a) Basic national fee..... | | | | \$ | 300.00 |
| <input checked="" type="checkbox"/> b) Examination fee..... | | | | \$ | 200.00 |
| <input checked="" type="checkbox"/> c) Search fee..... | | | | \$ | 500.00 |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$ | 1000.00 |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof. | | | | | |
| Total Sheets | Extra sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE | | |
| - 100 = | /50 = | | x \$250.00 | \$ | .00 |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)). | | | | \$ | .00 |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | |
| Total claims | 16 - 20 = | 0 | x \$50.00 | \$ | .00 |
| Independent claims | 1 - 3 = | 0 | x \$200.00 | \$ | .00 |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | + \$360.00 | \$ | .00 |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$ | 1.000.00 |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. | | | | \$ | .00 |
| SUBTOTAL = | | | | \$ | 1.000.00 |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)). | | | | \$ | .00 |
| TOTAL NATIONAL FEE = | | | | \$ | 1.000.00 |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property | | | | \$ | .00 |
| TOTAL FEES ENCLOSED = | | | | \$ | 1.000.00 |
| | | | | Amount to be refunded: | \$.00 |
| | | | | Amount to be charged: | \$.00 |
| <p>a. <input type="checkbox"/> A check in the amount of \$ <u>1.000.00</u> to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit t Account No. <u>06-1378</u>. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p> | | | | | |
| <p>NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.</p> <p>SEND ALL CORRESPONDENCE TO:</p> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p>CUSTOMER NO. 01933</p> <p>Herbert Goodman Frishauf, Holtz, Goodman & Chick P.C. 767 Third Avenue 25th Floor New York NY 10017-2023</p> </div> <div style="width: 45%; text-align: center;"> <p> SIGNATURE Herbert Goodman NAME 17,081 REGISTRATION NUMBER</p> </div> </div> | | | | | |

10/523170

DT12 Rec'd PCT/PTO 27 JAN 2005

PTO/SB/122 (10-00)

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Approved for use through 10/31/2002. OMB 0651-0035

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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| CHANGE OF CORRESPONDENCE ADDRESS <i>Application</i> Address to: Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450 | Application Number | |
| | Filing Date | Concomitantly herewith |
| | First Named Inventor | Sunao KURIMURA et al |
| | Group Art Unit | |
| | Examiner Name | |
| | Attorney Docket Number | 05022/MJC |

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I am the:

[] Applicant/Inventor.

[] Assignee of record of the entire interest.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

[] Attorney or Agent of record.

[X] Registered practitioner named in the application transmittal letter in an application without an executed oath or declaration. See 37 CFR 1.33(a)(1). Registration Number 17,081.

Typed or Printed

Name Herbert Goodman, Reg. No. 17,081

Signature

Date

January 27, 2005

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below.

[X] Total of 1 forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

**IN THE UNITED STATES PATENT
AND TRADEMARK OFFICE**

Appl. No. : (U.S. National Phase Appln.
based on PCT/JP2003/011883)
Applicant : Sunao KURIMURA et al
Filed : Concomitantly herewith
For : OPTICAL COMMUNICATION-USE
WAVELENGTH CONVERSION DEVICE
Docket No. : 05022/MJC
Customer No.: 01933

**REQUEST FOR PUBLICATION OF
ASSIGNMENT INFORMATION**

COMMISSIONER FOR PATENTS
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Alexandria, VA 22313-1450

S I R :

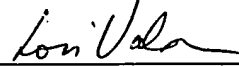
It is requested that the following assignment information be
published as part of the 18-month publication of the present
application:

NATIONAL INSTITUTE OF MATERIALS SCIENCE
2-1, Sengen 1-Chome
Tsukuba-shi, Ibaraki 305-0044 Japan

Frishauf, Holtz, Goodman
& Chick, P.C.
767 Third Ave., 25th floor
New York, NY 10017-2023
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HG/lpv

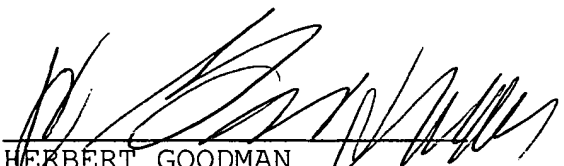
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Lori Valdes

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please consider this as a Petition for the
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extent not tendered by check attached
hereto, authorization to charge the
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required in connection with this Paper
to Account No. 06-1378.

Respectfully submitted,


HERBERT GOODMAN
Reg. No. 17,081